

(Modified) PTO SB.08A-B (10-96)
Approved for use through 10/31/99 OMB 0651-0031

Substitute for form 1449A-B, PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

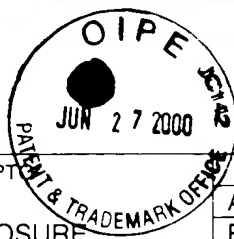
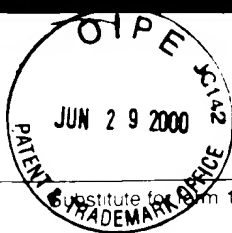
Application Number	09/539,486
Filing Date	March 30, 2000
First Named Inventor	Sergey A. Selifonov
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	02-028940US

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number	Kind Code (Known)			
SA	AA	5,512,463	435/912	Stemmer	04-30-1996	
SA	AB	5,514,588	435/762	Varadaraj	05-07-1996	
SA	AC	5,605,793	435/6	Stemmer	02-25-1997	
SA	AD	5,763,239	435/6	Short et al.	06-09-1998	
SA	AE	5,789,228	435/241	Lam et al.	08-04-1998	
SA	AF	5,811,238	435/6	Stemmer et al.	09-22-1998	
SA	AG	5,814,473	435/15	Warren et al.	09-29-1998	
SA	AH	5,824,469	435/6	Horwitz et al.	10-20-1998	
SA	AI	5,830,696	435/651	Short	11-03-1998	
SA	AJ	5,830,721	435/459	Stemmer et al.	11-03-1998	
SA	AK	5,834,252	435/911	Stemmer et al.	11-10-1998	
SA	AL	5,837,458	435/6	Minushull et al.	11-17-1998	
SA	AM	5,866,363	435/651	Piecznik	02-02-1999	
SA	AN	5,876,997	435/156	Kretz	03-02-1999	
SA	AO	5,925,749	435/151	Mathur, et al.	07-20-1999	
SA	AP	5,928,905	435/411	Stemmer, et al.	07-27-1999	
SA	AQ	5,939,250	435/4	Short, Jay M.	08-17-1999	
SA	AR	5,939,300	435/152	Robertson, et al.	08-17-1999	
SA	AS	5,942,430	435/157	Robertson, et al.	08-24-1999	
SA	AT	5,948,666	435/154	Callen, et al.	09-07-1999	
SA	AU	5,958,672	435/4	Short, Jay M.	09-28-1999	
SA	AV	5,958,751	435/258	Murphy, et al.	09-28-1999	
SA	AW	5,962,258	435/621	Mathur, et al.	10-05-1999	
SA	AX	5,962,283	435/155	Warren et al.	10-05-1999	
SA	AY	5,965,408	435/153	Short, Jay M.	10-12-1999	
SA	AZ	5,985,646	435/153	Murphy, et al.	11-16-1999	
SA	BA	6,001,574	435/6	Short et al.	12-14-1999	

Examiner Signature	<i>[Signature]</i>	Date Considered	05/01/01
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Group Art Unit	Unassigned
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Attorney Docket Number	02-028940US

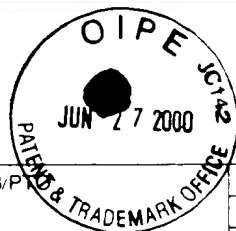
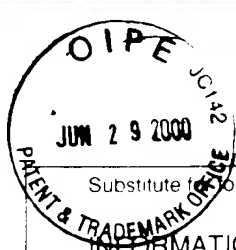
BB	6,004,788	435/153	Short	12-21-1999	
BC	6,030,779	435/16	Short	02-29-2000	
BD	6,054,267	435/16	Short	04-25-2000	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
AF	BE	WO	97/07205		Novo Nordisk A/S	02-27-1997		
AF	BF	WO	97/20078		Affymax Technologies	06-05-1997		
AF	BG	WO	97/25410		Novo Nordisk A/S	07-17-1997		
AF	BH	WO	97/35957		Maxygen, Inc.	10-02-1997		
AF	BI	WO	97/35966		Maxygen, Inc.	10-02-1997		
AF	BJ	WO	97/44361		Recombinant Biocatalysis Inc.	11-27-1997		
AF	BK	WO	97/48416		Recombinant Biocatalysis, Inc.	12-24-1997		
AF	BL	WO	97/48717		Recombinant Biocatalysis Inc	12-24-1997		
AF	BM	WO	97/48794		Recombinant Biocatalysis Inc	12-24-1997		
AF	BN	WO	98/00526		Recombinant Biocatalysis Inc	01-08-1998		
AF	BO	WO	98/01581		Recombinant Biocatalysis Inc	01-15-1998		
AF	BP	WO	98/13485		Maxygen, Inc	04-02-1998		
AF	BQ	WO	98/13487		Maxygen, Inc.	04-02-1998		
AF	BR	WO	98/24799		Diversa Corp.	06-11-1998		
AF	BS	WO	98/27230		Maxygen, Inc.	06-25-1998		
AF	BT	WO	98/28416		Novo Nordisk A/S	07-02-1998		
AF	BU	WO	98/31837		Maxygen, Inc.	07-23-1998		
AF	BV	WO	98/36080		Maxygen, Inc.	08-20-1998		

Examiner Signature	<i>[Signature]</i>	Date Considered	6/5/01
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Substitute Form 1449A-B/P

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Application Number	09/539,486
Filing Date	March 30, 2000
First Named Inventor	Sergey A. Selifonov
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	02-028940US

1	BW	WO	98/41622		Novo Nordisk A/S	09-24-1998		
2	BX	WO	98/41623		Novo Nordisk A/S	09-24-1998		
3	BY	WO	98/41653		Novo Nordisk A/S	09-24-1998		
4	BZ	WO	98/42832		California Institute of Technology	10-01-1998		
5	CA	WO	98/48034		Diversa Corp.	10-29-1998		
6	CB	WO	98/58085		Diversa Corp.	12-23-1998		
7	CC	WO	99/07837		Diversa Corp.	02-19-1999		
8	CD	WO	99/08539		Diversa Corp.	02-25-1999		
9	CE	WO	99/10472		Diversa Corp.	03-04-1999		
10	CF	WO	99/10539		Diversa Corp.	03-04-1999		
11	CG	WO	99/19518		Diversa Corp.	04-22-1999		
12	CH	EP	0911396A2		Maxygen, Inc.	04-28-1999		
13	CI	WO	99/21979		Maxygen, Inc.	05-06-1999		
14	CJ	EP	0911396A3		Maxygen, Inc.	05-06-1999		
15	CK	WO	99/23107		Maxygen, Inc.	05-14-1999		
16	CL	WO	99/23236		Diversa Corp.	05-14-1999		
17	CM	EP	0934999A1		Maxygen, Inc.	08-11-1999		
18	CN	WO	99/41368		Maxygen, Inc.	08-19-1999		
19	CO	WO	99/41369		Maxygen, Inc.	08-19-1999		
20	CP	WO	99/41383		Maxygen, Inc.	08-19-1999		
21	CQ	WO	99/41402		Maxygen, Inc.	08-19-1999		
22	CR	WO	99/45154		Diversa Corp.	09-10-1999		
23	CS	WO	99/57128		Maxygen, Inc.	11-11-1999		
24	CT	WO	99/65927		Maxygen, Inc.	12-23-1999		

Examiner Signature	<i>Selifonov</i>	Date Considered	6/30/01
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Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	02-028940US

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T
SG	CU	STEMMER et al., Single-step assembly of a gene and entire plasmid for large numbers of oligodeoxyribonucleotides <i>Gene</i> 164 (1995) 49-53	

Examiner Signature	<i>[Signature]</i>	Date Considered	6/24/01
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Substitute for form 1449A-B PTO

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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

Application Number **09/416,375**
 Filing Date **October 12, 1999**
 First Named Inventor **Sergey A. Selifonov**
 Group Art Unit **Unassigned**
 Examiner Name **Unassigned**
 Attorney Docket Number **02-028920US**

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published	T
AA	AA	Cramer & Stemmer "1020-Fold aptamer library amplification without gel purification" <u>Nucleic Acid Research</u> (1993) Vol. 21 No. 18 p. 4110	
AB	AB	Feng & Doolittle, <i>J. Mol. Evol.</i> 35:351-360 (1987)	
AC	AC	Higgins & Sharp, <i>CABIOS</i> 5:151-153 (1989).	
AD	AD	Sun (1999) "Modeling DNA Shuffling" <u>Journal of Computational Biology</u> 6(1):77-90	

Examiner Signature	<i>[Signature]</i>	Date Considered	<i>[Signature]</i>
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Substitute for form 1449A-B PTO

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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Application Number **09/539,486**
Filing Date **March 30, 2000**
First Named Inventor **Sergey A. Selifonov**
Group Art Unit **1631**
Examiner Name **S. Zhou**
Attorney Docket Number **02-028940US**

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			
ST	AA	09/408,392		Crameri et al.	09-28-1999	
SL	AB	09/408,393		Welch et al.	09-28-1999	
ST	AC	09/416,375		Selifonov, et al	10-12-1999	
Q	AD	09/484,850		Crameri, et al.	01-18-2000	
A	AE	09/618,579		Selifonov et al.	07-18-2000	
Q	AF	09/626,588		Crameri et al.	07-27-2000	
A	AG	09/626,930		Crameri et al.	07-27-2000	
Q	AH	09/626,595		Crameri et al.	07-27-2000	
Q	AI	09/626,929		Crameri et al.	07-27-2000	
Q	AJ	09/626,601		Crameri et al.	07-27-2000	
Q	AK	09/694,863		Crameri et al.	10-23-2000	
Q	AL	09/694,864		Crameri et al.	10-23-2000	
Q	AM	09/721,601		Crameri et al.	11-21-2000	
Q	AN	09/721,396		Selifonov et al.	11-21-2000	
Q	AO	09/721,395		Selifonov et al.	11-21-2000	
Q	AP	09/721,598		Selifonov et al.	11-21-2000	
Q	AQ	09/718,765		Selifonov et al.	11-21-2000	
Q	AR	09/718,849		Selifonov et al.	11-21-2000	
Q	AS	09/718,682		Selifonov et al.	11-21-2000	
Q	AT	09/721,365		Selifonov et al.	11-21-2000	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
ST	AU	WO	00/42560		Maxygen Inc.	07-20-2000		
Q	AV	WO	00/42561		Maxygen, Inc.	07-20-2000		

Examiner Signature	<i>S. Zhou</i>	Date Considered	03/15/01
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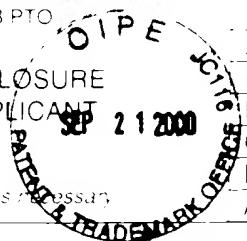
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Approved for use through 10/31/99 OMB 0651-0001

Substitute for form 1449A-B PTO

**INFORMATION DISCLOSURE
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First Named Inventor **Sergey A. Selifonov**
Group Art Unit **Unassigned**
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Examiner Initials	Cite No.	Office	Foreign Patent Document Number	Kind Code if known	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM/DD/YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
GA	AA	WO	95/15972		Thomas Jefferson University	06-15-1995	
GA	AB	WO	98/49350		Regents of the University of Minnesota	11-05-1998	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS); title of the article (when appropriate); title of the item (book, magazine, journal, serial, symposium, catalog, etc.); date; page(s); volume/issue number(s); publisher; city and/or country where published
GA	AC	Giver and Arnold "Combinatorial protein design by in vitro recombination" <u>Current Opinion in Chemical Biology</u> (1998) 2:335-338
GA	AD	Sun, Fengzhu, "Modeling DNA Shuffling" <u>Proceedings of the Second Annual International Conference on Computational Molecular Biology</u> (1998) 251-257
GA	AE	Zhao et al., "Molecular evolution by staggered extension process (StEP) in vitro recombination" <u>Nature Biotechnology</u> Vol. 16 (1998) pp. 258-261

Examiner Signature St. Thore Date Considered 10/16/01

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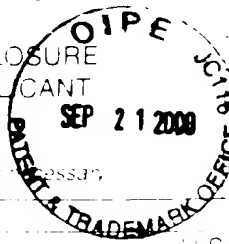
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Supplemental Form 1449A-B PTO

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 Group Art Unit **Unassigned**
 Examiner Name **Unassigned**
 Attorney Docket Number **02-028920US**

U.S. PATENT DOCUMENTS

AA 5,413,703 03/16/99 Yoshida et al. 02-18-1997

FOREIGN PATENT DOCUMENTS

AB WO 95 22625 Affymax Technologies, N.V. 08-24-1995
 AC WO 96/33207 Glaxo Group Limited 10-24-1996

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Date	Include name, if the author, in CAPITAL LETTERS; title of the article, when appropriate; title of the book, magazine, journal, serial, symposium, catalog, etc.; date, page(s), volume/issue number(s), publisher, city and/or country where published
AD		Aitschul et al. <i>J. Mol. Biol.</i> 215:403-410 (1990)
AE		Boehnke et al. (1991) "Statistical methods for multipoint radiation hybrid mapping" <i>Am. J. Hum. Genet.</i> 49:1174-1188
AF		Brunner and Bujard (1987) <i>EMBO J.</i> 6:3139-3144
AG		Chang et al. (1999) "Evolution of a cytokine using DNA family shuffling" <i>Nature Biotechnology</i> 17:793-797
AH		Christians et al. (1999) "Directed evolution of thymidine kinase for AZT phosphorylation using DNA family shuffling" <i>Nature Biotechnology</i> 17:259-264
AI		Crameri and Stemmer (1995) "Combinatorial multiple cassette mutagenesis creates all the permutations of mutant and wildtype cassettes" <i>BioTechniques</i> 18:194-195
AJ		Crameri et al. (1996) "Construction and evolution of antibody-phage libraries by DNA shuffling" <i>Nature Medicine</i> 2:100-103
AK		Crameri et al. (1996) "Improved green fluorescent protein by molecular evolution using DNA shuffling" <i>Nature Biotechnology</i> 14:315-319
AL		Crameri et al. (1997) "Molecular evolution of an arsenate detoxification pathway by DNA shuffling." <i>Nature Biotechnology</i> 15:436-438.
AM		Crameri et al. (1998) "DNA shuffling of a family of genes from diverse species accelerates directed evolution" <i>Nature</i> 391:288-291
AN		Gates et al. (1996) "Affinity selective isolation of ligands from peptide libraries through display on a lac repressor 'headpiece dimer'" <i>Journal of Molecular Biology</i> 255:373-386

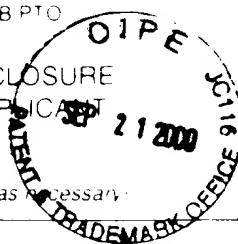
Examiner
Signature

Date
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First Named Inventor **Sergey A. Selifonov**
Group Art Unit **Unassigned**
Examiner Name **Unassigned**
Attorney Docket Number **02-028920US**

AO	Irvine et al. (1991) "SELEXION: systematic evolution of ligands by exponential enrichment with integrated optimization by non-linear analysis" <u>J. Mol. Biol.</u> 222:739-761
AP	Jonsson et al. (1993) <u>Nucleic Acids Res.</u> 21:733-739
AQ	Kelly et al. (1994) "A test of the Markovian model of DNA evolution" <u>Biometrics</u> 50(3):653-64
AR	Knaus and Bujard (1988) <u>EMBO J.</u> 7:2919-2923
AS	Lander and Waterman (1988) Genomic mapping by fingerprinting random clones: a mathematical analysis" <u>Genomics</u> 2:231-239
AT	Lanzer and Bujard (1988) <u>Proc. Natl. Acad. Sci.</u> 85:8973-8977
AU	Minshull and Stemmer (1999) "Protein evolution by molecular breeding" <u>Current Opinion in Chemical Biology</u> 3:284-290
AV	Ness et al. (1999) "DNA Shuffling of subgenomic sequences of subtilisin" <u>Nature Biotechnology</u> 17:893-896
AW	Patten et al. (1997) "Applications of DNA Shuffling to Pharmaceuticals and Vaccines" <u>Current Opinion in Biotechnology</u> 8:724-733
AX	Stemmer (1994) "Rapid evolution of a protein in vitro by DNA shuffling" <u>Nature</u> 370:389-391
AY	Stemmer (1995) "Searching Sequence Space" <u>Bio/Technology</u> 13:549-553
AZ	Stemmer (1995) "The Evolution of Molecular Computation" <u>Science</u> 270: 1510
BA	Stemmer (1996) "Sexual PCR and Assembly PCR" In: <u>The Encyclopedia of Molecular Biology</u> . VCH Publishers, New York. pp.447-457
BB	Stemmer, et al., (1999) "Molecular breeding of viruses for targeting and other clinical properties Tumor Targeting" 4:1-4
BC	Sun and Waterman (1996) "A mathematical analysis of <i>in vitro</i> molecular selection-amplification" <u>J. Mol. Biol.</u> 258:650-660
BD	Zhang et al. (1997) "Directed evolution of an effective fucosidase from a galactosidase by DNA shuffling and screening" <u>Proceedings of the National Academy of Sciences, U.S.A.</u> 94:4504-4509

Examiner
Signature

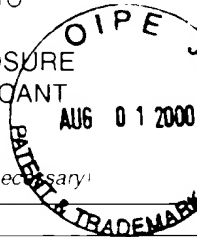
[Handwritten Signature]

Date
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[Handwritten Date]

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		Filing Date	March 30, 2000
		First Named Inventor	Sergey A. Selifonov
		Group Art Unit	Unassigned
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		Attorney Docket Number	02-028940US



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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS						
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published				
A	AA	DAHIYAT et al., "Automated design of the surface positions of protein helices" <i>Protein Science</i> (1997) 6:1333-1337				
A	AB	DAHIYAT and MAYO "De Novo Protein Design: Fully Automated Sequence Selection" <i>Science</i> (1997) vol. 278 pp. 82-87				
A	AC	DAHIYAT et al., "De Novo Protein Design: Towards Fully Automated Sequence Selection" <i>J. Mol. Biol.</i> (1997) 273:789-796				
A	AD	DAHIYAT and MAYO "Probing the role of packing specificity in protein design" <i>Proc. Natl. Acad. Sci. U.S.A.</i> vol. 94 pp. 10172-10177				
A	AE	GORDON and MAYO "Branch-and-Terminate: a combinatorial optimization algorithm for protein design" <i>Structure</i> (1999) 7:1089-1098				
A	AF	GORDON et al., "Energy functions for protein design" <i>Current Opinion in Structural Biology</i> (1999) 9:509-513				
A	AG	GORDON and MAYO "Radical Performance Enhancements for Combinatorial Optimization Algorithms Based on the Dead-End Elimination Theorem" <i>Journal of Computational Chemistry</i> , 1998, vol. 19, no. 13, 1505-1514				
A	AH	HANEY et al., "Structural Basis for Thermostability and Identification of Potential Active Site Residues for Adenylate Kinases From the Archaeal Genus <i>Methanococcus</i> " <i>Proteins</i> (1997) 28:117-130				
A	AI	MALAKAUSKAS and MAYO "Design, structure and stability of a hyperthermophilic protein variant" <i>Nature Structural Biology</i> (1998) vol. 5, no. 6, 470-475				
A	AJ	POLLOCK et al., "Coevolving Protein Residues: Maximum Likelihood Identification and Relationship to Structure" <i>J. Mol. Biol.</i> (1999) 287:187-198				
A	AK	STREET and MAYO "Computational protein design" <i>Structure</i> (1999) 7:R105-R109				

Examiner Signature		Date Considered	8/6/00
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*EXAMINER. Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute for form 1449A-B PTO	Complete if Known
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Application Number 09/539,486
(use as many sheets as necessary)	Filing Date March 30, 2000
	First Named Inventor Sergey A. Selifonov
	Group Art Unit Unassigned
	Examiner Name Unassigned
	Attorney Docket Number 02-028940US

AL	STREET and MAYO "Intrinsic B-sheet propensities result from van der Waals interactions between side chains and local backbone" <i>Proc. Natl. Acad. Sci. U.S.A.</i> (1999) vol. 96 pp. 9074-9076
AM	STREET and MAYO "Pairwise calculation of protein solvent-accessible surface areas" <i>Folding & Design</i> (1998) 3:253-258
AN	STROP and MAYO "Rubredoxin Variant Folds without Iron" <i>J. American Chem. Soc.</i> (1999) vol. 121 no. 11 pp. 2341-2345
AO	WOLLENBERG and ATCHLEY "Separation of phylogenetic and functional associations in biological sequences by using the parametric bootstrap" <i>PNSA</i> vol. 97, no. 7, pp. 3288-3291

Examiner Signature	<i>[Signature]</i>	Date Considered	<i>3/30/00</i>
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